

RECEIVED  
CENTRAL FAX CENTER

APR - 3 2006

Docket No. 8775-012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sandhu, et al.

Confirmation No. 7624

Serial No. 10/815,428

Examiner: Gregory W. Adams

Filed: March 31, 2004

Group Art Unit: 3652

For: ROBOTIC HAND WITH MULTI-WAFER END EFFECTOR

TRANSMITTAL LETTER

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Enclosed for filing in the above-referenced application are the following:

- ☒ Appeal Brief (13 pages; Exhibit A- 17 pages)
- ☒ Filing Fee (\$250)
- ☒ Applicant claims small entity status (see 37 CFR 1.27)
- ☒ Any deficiency or overpayment should be charged or credited to deposit account number 13-1703. A duplicate copy of this sheet is enclosed.

Customer No. 20575

Respectfully submitted,

MARGER JOHNSON & McCOLLOM, P.C.



Scott A. Schaffer  
Reg. No. 38,610

MARGER JOHNSON & McCOLLOM, P.C.  
210 SW Morrison Street, Suite 400  
Portland, OR 97204  
503-222-3613

I hereby certify that this correspondence  
is being transmitted to the U.S. Patent and  
Trademark Office via facsimile number  
571-273-8300, on April 3, 2006.

  
Christina Lawton

**RECEIVED  
CENTRAL FAX CENTER****APR - 3 2006**

Docket No. 8775-012

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Sandhu, et al.

Confirmation No. 7624

Serial No. 10/815,428

Examiner: Gregory W. Adams

Filed: March 31, 2004

Group Art Unit: 3652

For: ROBOTIC HAND WITH MULTI-WAFER END EFFECTOR

Date: April 3, 2006

MAIL STOP Appeal Brief - Patents  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**APPELLANT'S BRIEF  
UNDER 37 C.F.R. § 41.37**

Appeal is taken from the Examiner's Office Action mailed November 3, 2005, finally rejecting claims 36-45 in the instant application.

This Appeal Brief is in furtherance of the Notice of Appeal mailed in this case on February 3, 2006.

The fees required under §41.37(a)(2) and any required petition for extension of time for filing this Brief and fees therefor are dealt with in the accompanying TRANSMITTAL OF APPEAL BRIEF.

This Brief contains these items under the following headings, and in the order set forth below.

I hereby certify that this correspondence is being transmitted to Mail Stop APPEAL BRIEF - PATENTS, the U.S. Patent and Trademark Office via facsimile number 571-273-8300, on April 3, 2006.

*Christina Lawton*  
Christina Lawton

04/04/2006 TL0111 00000009 10015428

01 FC:2402

250.00 OP

**TABLE OF CONTENTS**

- I. REAL PARTY IN INTEREST
- II. RELATED APPEALS AND INTERFERENCES
- III. STATUS OF CLAIMS
- IV. STATUS OF AMENDMENTS
- V. SUMMARY OF CLAIMED SUBJECT MATTER
- VI. GROUNDS OF REJECTION TO BE REVIEWED ON APPEAL
- VII. ARGUMENT
- VIII. CLAIMS APPENDIX
- IX. EVIDENCE APPENDIX
- X. RELATED PROCEEDINGS APPENDIX

**RECEIVED**  
**CENTRAL FAX CENTER**

**APR - 3 2006**

**I. REAL PARTY IN INTEREST****37 CFR § 41.37(c)(1)(i)**

The real party in interest in this appeal is Synetics Solutions, Inc., the assignee of the above-referenced patent application.

**II. RELATED APPEALS AND INTERFERENCES****37 CFR § 41.37(c)(1)(ii)**

There are no other appeals or interferences known to Appellant, the Appellant's representative, or assignee that will directly affect or be directly affected by or have a bearing on the Board's decision in this appeal.

**III. STATUS OF CLAIMS****37 CFR § 41.37(c)(1)(iii)**

- 1. Claims presented: 1-45
- 2. Claims rejected: 36-45
- 3. Claims allowed or confirmed: NONE
- 4. Claims withdrawn: NONE
- 5. Claims objected to: NONE
- 6. Claims cancelled: 1-35

All the rejected claims, Claims 36-45, are being appealed. The appealed claims are eligible for appeal, having been finally rejected.

RECEIVED  
CENTRAL FAX CENTER

**IV. STATUS OF AMENDMENTS**  
**37 CFR § 41.37(c)(1)(iv)**

**APR - 3 2006**

Subsequent to the last Office Action mailed on November 3, 2005, which contained a Final Rejection of the appealed claims, no further amendments have been filed.

**V. SUMMARY OF CLAIMED SUBJECT MATTER**  
**37 CFR § 41.37(c)(1)(v)**

The claims in the patent are directed to a wafer handling device, and more specifically, to a robotic hand adapted to grasp and move a plurality of wafers simultaneously.

Claim 36 is a method for moving a plurality of wafers using a robotic hand fitted with a plurality of end effectors with blades that mechanically grasp the wafers to secure each wafer to a corresponding blade. The robotic hand is then moved to a destination and the wafers released.

There is one independent claim, 36, involved in this appeal.

**A. Independent Claim 36**

Claim Language	Support in Specification/Figures
<i>A method for moving a plurality of wafers, comprising:</i>	
<i>positioning a plurality of end-effectors of a robotic hand adjacent an opening of a first wafer receptacle having a plurality of wafers arrayed therein, wherein the plurality of end-effectors also include a plurality of blades;</i>	Method step described in specification, page 5, lines 1-3. <ul style="list-style-type: none"> <li>• End-effectors (30) FIG. 2</li> <li>• Robotic hand (20) FIG. 2</li> <li>• Opening (spec., page 6, line 3)</li> <li>• Wafers (W) FIG. 5</li> <li>• Blades (32) FIG. 3</li> </ul>
<i>inserting the hand into the first wafer receptacle;</i>	Method step described in spec., page 5, line 4
<i>mechanically grasping a selected number of wafers by a corresponding number of blades;</i>	Method step described in spec., page 5, lines 4-7 and in FIG. 5.
<i>withdrawing the hand from the first wafer receptacle;</i>	Method step described in spec., page 5, lines 8-9
<i>positioning the hand adjacent an opening of a second wafer receptacle;</i>	Method step described in spec., page 5, lines 10-11
<i>inserting the hand into the second wafer receptacle; and</i>	Method step described in spec., page 5, line 11
<i>releasing the selected number of wafers into the second wafer receptacle.</i>	Method step described in spec., page 5, lines 12-13

**VI. GROUNDS OF REJECTION TO BE REVIEWED ON APPEAL**  
**37 CFR § 41.37(c)(1)(vi)**

A. Claims 36-39 and 42-45 stand rejected under 35 U.S.C. §102(b) as being anticipated by Cameron, et al. (WO 00/02803).

B. Claims 40 and 41 stand rejected under 35 U.S.C. §103(a) as being unpatentable over Cameron, et al., as applied to Claim 36, and further in view of Bacchi, et al. (U.S. Patent No. 6,275,748).

**VII. ARGUMENT**  
**37 CFR § 41.37(c)(1)(vii)**

The general issue is whether claims 36-45 are unpatentable under 35 U.S.C. §§ 102(b) and 103(a), in view of the prior art of record. Briefly, the specific issues can be stated as follows:

A. In making the §102(b) rejection under Cameron, the Patent Office has given an unreasonably expansive definition to the claim term *mechanically grasping* that runs counter to a clear definition accorded within the specification, counter to the definition accorded in the wafer transport and chucking arts, and in violation of established case law.

B. The combination of Cameron and Bacchi fails to teach all elements of the claims sufficient to make a prima facie case in support of a §103(a) rejection. That is, in addition to the failure of Cameron to disclose a method for moving a plurality of wafers by mechanically grasping the wafers, Bacchi fails to disclose detection of wafer contact pad displacement by detecting the position of the active contact point.

These issues will be divided into respective subsections and will address each of the grounds for rejection separately.

*A. Cameron does not teach the step of "mechanically grasping" according to a reasonably expansive definition of the claim 36 limitation.*

Case law is fairly specific on how claim language is to be interpreted during prosecution. "Words in a claim are generally given their ordinary and accustomed meaning unless the inventor chooses to be his own lexicographer in the specification." *Lantech, Inc. v. Keip Mach. Co.*, 32 F.3d 542, 547, 31 USPQ2d 1666, 1670 (Fed. Cir. 1994). "In examining a patent claim, the PTO must apply the broadest reasonable meaning to the claim language, taking into account any definitions presented in the specification." *In re Yamamoto*, 740 F.2d 1569, 1571, 222 USPQ 934, 936 (Fed. Cir. 1984). The Federal Circuit cautions, however,

that the PTO is not to erroneously construe the claims (as was the case in *Baker Hughes*) where such construction was “beyond that which was reasonable in light of the totality of the written description.” *In re Baker Hughes, Inc.*, 215 F.3d 1297, 55 USPQ2d 1149 (Fed. Cir. 2000).

The Examiner has committed the same error as noted in the *Baker Hughes* case by applying a definition to “mechanically grasping” that is beyond that which is reasonable in light of the totality of the written description. To quote the Examiner from the Final Office Action:

Cameron discloses mechanical grasping encompassing more than vacuum, e.g. an end-effector, first arm, second end effector, robot body, wafer holders, and vacuum opening which grasps via drive motor and shaft 74, 76 and pivot mechanism 70.

The Examiner appears to state that because Cameron includes mechanical systems (e.g. drive motors), that this brings Cameron within the definition of “mechanically grasping” as called for within the claims. Appellants assert, however, that such a broadly construed definition runs counter to (1) a clear definition accorded within the specification, (2) to the definition accorded in the wafer transport and chucking arts, and (3) established case law detailing the proper interpretation of claim terms. The Examiner, in fact, provides no support why such an interpretation is reasonable in the mechanical arts, provides no support why such an interpretation is reasonable in view of the totality of the written description, and provides no support why such an interpretation is in accordance with the ordinary and accustomed meaning of the word “mechanically grasping.” In other words, the Examiner has failed to uphold the rigor proscribed by the Federal Circuit in *Lantech*, in *Yamamoto*, and in *Baker Hughes*.

Appellants next examine what is stated in the specification about the limitation “mechanically grasping.” Claim 36 recites the step of *mechanically grasping a selected number of wafers by a corresponding number of blades....* In describing the disclosed robotic hand, Applicant expressly states the following:

“mechanically” grasping refers to wafer engagement by other than by application of pneumatic force directly to a surface of a wafer. (Patent Application, page 3, lines 6-8)

The present invention acts to mechanically grasp the wafers using wafer engaging pads 34 as shown in the patent application that act to mechanically grasp peripheral portions of the wafer. That is, the wafer engaging pad moves relative to other pads (e.g., wafer rest pads 36) to clamp the wafer between the two so that a bias force is applied to edges of the wafer to keep it in place between the pads 34 and 36.

Cameron does not teach a mechanically [wafer] grasping step as set forth in claim 36. Instead, Cameron utilizes a vacuum wafer grasping mechanism wherein vacuum suction is used to secure the substrate to the paddle. (Cameron, page 5, lines 17-20, 26-28, 30-31, page 6, line 1) This type of pneumatic force is explicitly excluded from the definition of mechanically grasping as set forth in the present application.

The disclosure within the specification is consistent with a generally understood definition of "grasping" as to seize or hold firmly as if with the hand. (*The American Heritage Dictionary of the English Language*, 3<sup>rd</sup> Edition 1996) As the mechanical elements of Cameron perform no grasping function, they cannot be said to enable the mechanically grasping function within the Cameron. That is, excluding the pneumatic/vacuum force applied within the Cameron device, the wafers would simply fall out of the robotic drive arm if the arm were tipped or jostled because there are no elements that enact mechanical grasping. Consequently, the Patent Office fails to make a *prima facie* showing that the "mechanically grasping" step is disclosed within the Cameron reference sufficient to support a rejection of the claims under 35 USC §102(b).

Finally, the wafer handling and chucking arts recognizes several distinct methods for engaging a wafer during transport, including (1) gravity, (2) vacuum, (3) mechanical, (4) electrostatic, (5) electromagnetic, and (6) Bernoulli Chuck. The End-Effector Bible published by FJA Industries in 2000 (3<sup>rd</sup> ed.), portions of which are attached hereto as Exhibit A, is a reference of art that cites these six types of "holding methods." Two of the methods—mechanical and vacuum—are described as reproduced below:

**Vacuum:** Vacuum holding is a very common and popular method of temporarily security a part to an end-effector for a short period of time. Flat surfaces are desired for vacuum holding in order to facilitate a vacuum seal. Therefore, parts having flat surfaces are candidates for this method. Debris laden environments will prevent vacuum sealing and are not conducive to vacuum holding. While this method appears simple, the reader would be wise to investigate further. The details of this technology shall be discussed in full measure later in the text. The challenges of this technology are great and some of the implemented solutions are elegant.

**Mechanical:** Clamping a part by mechanical means is a practical solution for many applications. One such application is holding parts in a vacuum chamber where the vacuum method of holding can not be utilized. The mechanical end-effector is usually a complex design and demands a higher cost. The potential for damage to the part being handled can be high for fragile parts.

Using one method over the other is more than simply a matter of design choice since the complexities involved are quite different depending upon which holding method is chosen. Accordingly, vacuum retaining would not be considered equivalent to mechanical retaining as understood within the chucking arts.

The present invention is intended to address a method for using mechanical holding methods in order to address certain disadvantages of pneumatic systems such as the one disclosed in Cameron. Mechanical gripping is not found in Cameron. Instead, and as discussed above, a failure of the vacuum pressure in Cameron would allow the wafers to slide off of the pads 108 and out of the holder itself if the holder is tipped.

Furthermore, Appellants have determined that are two significant advantages to use mechanical grasping over vacuum grasping in wafer handling process that argue against equivalence.

First, mechanical grasping introduces less contamination. The vacuum end-effector relies on the end-effector surface area in contact with the wafer to produce a lateral (parallel to wafer surface) friction force. This contact area and the associated micro displacement (vibration, slippage) produce particles on the backside of the wafer. When wafers are processed in wet tanks (cleaning processes) the backside particles can migrate to the front side where the chips are located. These particles would cause failures and decrease manufacturing yields. On the other hand, edge grip end effectors have minimal contact area and thus minimal particles are produced. Based on Appellants' measurements, an order-of-magnitude analysis shows that vacuum end effectors produce 10,000 particles and edge grip end effectors produce 10 particles per grip.

A second advantage of mechanical grasping over vacuum is that while edge grip end effectors have a known constant grip force based on the pneumatic force of the gripping actuator, vacuum end effectors grip (friction) force is less known or constant. The vacuum grip force is highly dependent on the surface roughness and the co-planarity of the end effector and wafer. The variability of the vacuum end effector grip force does not make the vacuum end effector a good candidate for multi-plane wafer motion. In addition, the vacuum end effector relies on the friction force between the end effector and wafer surface to produce a lateral (parallel to wafer surface) friction force. When the robot arm is accelerating in the horizontal plane with a horizontal wafer surface or when the robot arm is moving in the vertical plane with a vertical wafer surface, there are forces acting on the wafer may be greater than the lateral friction force, which could cause wafer slip and damage.



Since mechanical grasping is clearly distinguishable from vacuum grasping in the wafer handling process, and Cameron only teaches a vacuum wafer grasping mechanism, reconsideration by the Board and allowance of claims 36-39 and 42-44 are thus respectfully requested.

***B. The Combination of the Cameron and Bacchi references fail to teach each and every element of the claims sufficient to support a rejection under 35 USC §103(a)***

Claims 40 – 41 have been rejected under 35 U.S.C. § 103(a) as being unpatentable over Cameron in view of Bacchi, et al. (U.S. Patent No. 6,275,748; hereinafter “Bacchi”). Applicants respectfully disagree with the rejection.

Claim 40 recites that the step of “sensing the presence and position of wafer” comprises “detecting a displacement of a wafer contact pad when said wafer contact pad contacts a wafer peripheral zone.” Claim 41 recites that the optical sensing of wafer step comprises optically detecting a displacement of the wafer contact pad when said wafer contact pad contacts a wafer peripheral zone. Examiner alleges that Cameron discloses position and presence sensors and Bacchi discloses the step of sensing the wafer pad displacement.

Upon careful review of the prior art, it is clear that Cameron in view of Bacchi does not teach detection of wafer presence and position via wafer pad displacement as recited in claims 40-41.

The sensor in Cameron is noted on page 6, line 32 as an “object sensor 58” and is adapted to detect presence only. Furthermore, the Cameron sensor is associated with presence within the slots of a cassette (Cameron, p.6, ln. 33) as opposed to position on an end-effector as in the present invention where the displacement of a wafer contact pad is detected when the wafer contact pad contacts a wafer peripheral zone. (e.g., claim 40) Presence of the wafer within a particular slot of the Cameron device cassette is further provided by use of a “vacuum sensor” (Cameron, p. 7, lns. 9-26). Again, position is not determined as called for within the present claims. Accordingly, it would be inappropriate to read such a limitation within the Cameron reference.

The optical sensors disclosed in Bacchi are used to detect retracted, safe specimen loading/gripping and extended positions of the active contact point. (see, e.g., Bacchi, Col. 2, line 22-24) The active contact point is movable between a retracted wafer-loading position and an extended wafer-gripping position to urge the wafer against the distal rest pads so that the wafer is gripped only at its edge or within the exclusion zone to reduce contamination.

(see, e.g., Bacchi, Col. 2, line 15-20). The active contact point disclosed in Bacchi does not perform wafer gripping functionality. Instead, Bacchi discloses that it is the proximal and distal rest pads that support and grip the wafer. (See, e.g., Bacchi, Col. 2, lines 10-15)

Again, and in contrast to the teachings in Bacchi, the wafer contact pad recited in claims 40-41 is structured to serve the wafer grasping function. (Patent Application, page 3, lines 17-18, page 2, line 26-29)

Since the active contact point disclosed in Bacchi serves a distinct function from that of the wafer contact pad recited in claim 40 and 41, detection of the positions of the active contact point is not the same as the detection of wafer contact pad displacement. Thus, Bacchi does not disclose detection of wafer contact pad displacement by detecting the position of the active contact point.

In neither Cameron or Bacchi, therefore, is there a suggestion to combine the optical detection of the active control points of Bacchi with wafer detection feature from Cameron. Furthermore, there is no suggestion to use optical sensors to detect wafer pad displacement in Bacchi.

Care must be made when combining references.

The Federal Circuit has been consistent in reversing the PTO when a rejection is made on the basis of hindsight, that is when an Examiner rejects the application under 35 U.S.C. §103(a) grounds as obvious under a combination of two or more patents without any specific suggestion within the patents to combine the features. In re Rouffett, 47 USPQ2d 1453 (Fed. Cir. 1998), the Federal Circuit refused to uphold an obviousness rejection, even where skill in the art is high, absent the specific identification of principal, known to one of ordinary skill in the art that suggests the claimed combination.

The Federal Circuit reemphasized the care to be taken when combining prior art references in obviousness findings in Ecolchem v. Southern Cal. Edison, 56 USPQ2d 1065 (Fed. Cir. 2000), stating that such absence of evidence to combine prior art references "is defective as hindsight analysis." The Federal Circuit held similarly in In re Kotzab, 55 USPQ2d 1313 (Fed. Cir. 2000), reversing the PTO and stating that, "[i]dentification of prior art statements that, in abstract, appear to suggest claimed limitation does not establish prima facie case of obviousness without finding as to specific understanding or principal within knowledge of skilled artisan that would have motivated one with no knowledge of the invention to make the combination in the manner claimed."

Finally, the Federal Circuit has reaffirmed their view that the PTO used improper hindsight analysis to reject patent claims under §103(a) in the recent case of In re Lee, 277

F.3d 1338, 61 USPQ2d 1430 (Fed. Cir. 2002), stating that a specific suggestion in the prior art cited is required and not a simple citation to “common knowledge and common sense.”

Lee includes a tour-de-force of case law directed to the issue of combining references including those as follows:

- “The factual inquiry whether to combine references must be thorough and searching. . . . It must be based on objective evidence of record. This precedent has been reinforced in myriad decisions, and cannot be dispensed with.” (Lee, 277 F.3d at 1343)
- “A showing of a suggestion, teaching, or motivation to combine the prior art references is an essential component of an obviousness holding.” (*quoting* Brown & Williamson Tobacco Corp. v. Philip Morris, Inc., 229 F.3d 1120, 1124-25, 56 USPQ2d 1456, 1459 (Fed. Cir. 2000))
- “Our case law makes clear that the best defense against the subtle but powerful attraction of a hindsight-based obviousness analysis is rigorous application of the requirement for a showing of the teaching or motivation to combine prior art references.” (*quoting* C.R. Bard, Inc. v. M3 Systems, Inc., 157 F.3d 1340, 1352, 48 USPQ2d 1225, 1232 (Fed. Cir. 1998))
- “There must be some motivation, suggestion, or teaching of the desirability of making the specific combination that was made by the applicant.” (*quoting* In re Dance, 160 F.3d 1339, 1343, 48 USPQ2d 1635, 1637 (Fed. Cir. 1998))
- “Teachings of references can be combined *only* if there is some suggestion or incentive to do so.” (*quoting* In re Fine, 837 F.2d 1071, 1075, 5 USPQ2d 1596, 1600 (Fed. Cir. 1988) (emphasis in original))

The Patent Office has failed to display the rigor required by the Federal Circuit holdings in demonstrating a suggestion within the art that the cited prior art references should be combined.

#### VIII. CLAIMS APPENDIX 37 CFR § 41.37(c)(1)(viii)

A copy of the claims involved in the appeal, Claims 36-45 are attached hereto as an appendix, entitled Claims Appendix.

//  
//  
//

**IX. EVIDENCE APPENDIX**  
**37 CFR § 41.37(c)(1)(ix)**

No evidence was submitted pursuant to 37 CFR §§ 1.130, 1.131 or 1.132 of this title, nor was any other evidence entered by the Examiner and relied upon by the Appellant in the appeal.

**X. RELATED PROCEEDINGS APPENDIX**  
**37 CFR § 41.37(c)(1)(x)**

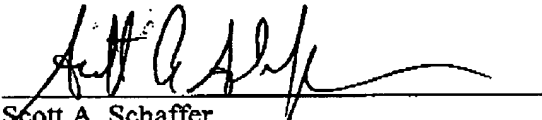
No related proceeding was identified pursuant to 37 CFR § 41.37(c)(1)(ii) of this section.

**CONCLUSION**

For the foregoing reasons, Appellant requests that the Board reverse the Examiner's rejections to Appellant's claims.

Respectfully submitted,

MARGER JOHNSON & McCOLLOM, P.C.

  
\_\_\_\_\_  
Scott A. Schaffer  
Reg. No. 38,610

MARGER JOHNSON & McCOLLOM, P.C.  
210 SW Morrison Street, Suite 400  
Portland, Oregon 97204  
(503) 222-3613

**VIII. CLAIMS APPENDIX**  
**37 CFR § 41.37(c)(1)(viii)**

The text of the claims on appeal, 36-45, are as follows:

36. A method for moving a plurality of wafers, comprising:  
positioning a plurality of end-effectors of a robotic hand adjacent an opening of a first wafer receptacle having a plurality of wafers arrayed therein, wherein the plurality of end-effectors also include a plurality of blades;  
inserting the hand into the first wafer receptacle;  
mechanically grasping a selected number of wafers by a corresponding number of blades;  
withdrawing the hand from the first wafer receptacle;  
positioning the hand adjacent an opening of a second wafer receptacle;  
inserting the hand into the second wafer receptacle; and  
releasing the selected number of wafers into the second wafer receptacle.
37. The method of claim 36 wherein the selected number of wafers is one of one, two, three, four, or five wafers.
38. The method of claim 36, further comprising sensing the presence of the selected number of wafers on the plurality of end-effectors in the first wafer receptacle.
39. The method of claim 38 wherein sensing the presence and position of the plurality of wafers comprises sensing a wafer peripheral zone proximate the hand.
40. The method of claim 39 wherein sensing the presence and position of wafer comprises detecting a displacement of a wafer contact pad when said wafer contact pad contacts a wafer peripheral zone.
41. The method of claim 39 wherein optically sensing the wafer comprises optically detecting a displacement of a wafer contact pad when said wafer contact pad contacts a wafer peripheral zone.

42. The method of claim 38 wherein sensing the presence and position of the plurality of wafers comprises optically sensing a wafer peripheral zone of each wafer proximate the hand.

43. The method of claim 36 wherein mechanically grasping a selected number of wafers comprises mechanically grasping each wafer only at a peripheral zone thereof.

44. The method of claim 36 wherein releasing the selected number of wafers comprises arraying the wafers in the second wafer receptacle.

45. The method of claim 36 wherein the robotic hand is structured to retain one or more grasped wafers during multi-planar movement.

# The End-Effector Bible

©Copyright FJA Industries, Inc.  
All Rights Reserved

THIRD EDITION

By: Frank J. Ardezzone  
End-Effectors, Inc.

Exhibit A – Page 1 of 17

# The End-Effector Bible

THIRD EDITION

ISBN#0-9675057-1-2  
LIBRARY OF CONGRESS CATALOG  
CARD NUMBER 99 097744

©Copyright FJA Industries, Inc.  
All Rights Reserved

Edited by:  
Louis Vitale

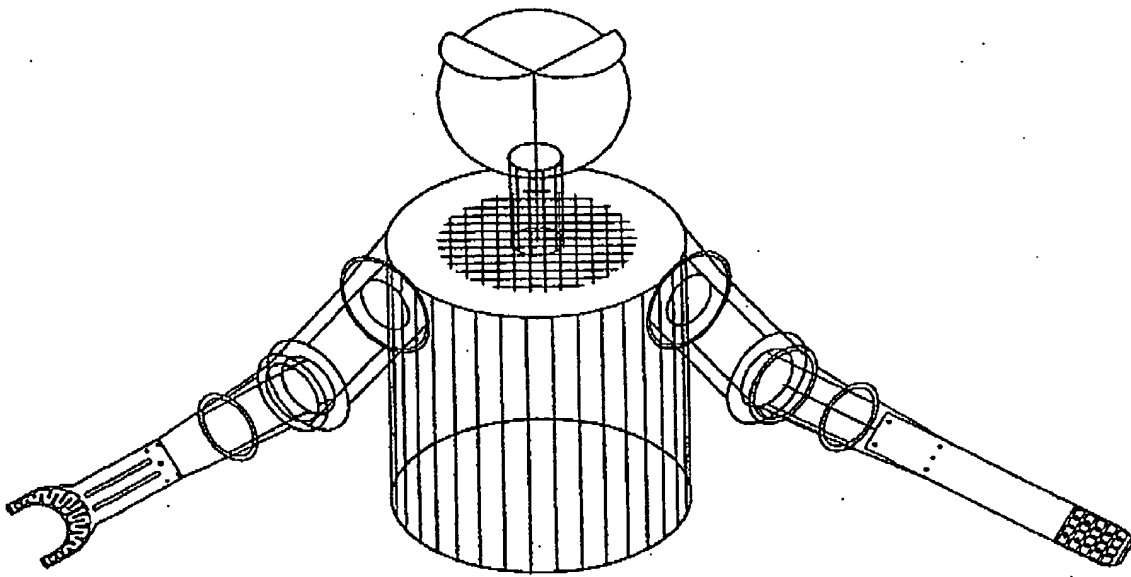
Published by  
F.J.A. INDUSTRIES  
Santa Clara, California  
(408) 727-0100

II

Exhibit A – Page 2 of 17



**Thanks to End-Effectors Inc.  
for making this text possible.**



**End-Effectors Inc.**  
***Giving Robotics a Hand™***

III

**Exhibit A – Page 3 of 17**

# **Acknowledgement**

The information contained in this text is the result of work done by the author and his staff.

Numerous texts, hand books, research papers and data sheets have been referred to. Many hours of research, design, development and testing have been expended in pursuit of the information contained in this manual.

While many other persons have contributed in some form or fashion, I here list and thank the major contributors:

Ben Lagasca  
Yosh Morimoto  
Dale Ikeuye  
Joan Rayment  
Louis Vitale  
Allen Humecky

Respectfully;  
Frank J. Ardezzone  
President, End-Effectors, Inc.

# **Notice**

© Copyrights     Ardezzone  
First Edition     February, 1995  
Second Edition   January, 1997  
Third Edition     October, 2000

End-Effectors, Inc. is the producer of this document and owns all Copyrights thereto.

No portion of this document may be reproduced without the written consent of End-Effectors, Inc., or the author.

**FRANK J. ARDEZZONE**

All materials herein are fully subject to the Copyright Act, Title 17 of the U.S. Code. The information contained herein is assumed to be accurate. However, no warranties express or implied, are made and no liabilities assumed for any damages caused by the use of this information.

To receive information about this text or other products contact:

End-Effectors, Inc.  
P.O. Box 242  
Santa Clara, California 95052-0242

Call: (408) 727-0100     Fax: (408) 727-2100

Visit our Web Site at: [www.fjaind.com](http://www.fjaind.com)

V

**Exhibit A – Page 5 of 17**

# **Table of Contents**

Introduction .....	1
Definitions .....	3
Applications .....	4
Holding Methods .....	6
Sensing Methods .....	12
Materials .....	19
Electrical Properties .....	21
Strength of Materials .....	24
Physical Properties .....	28
Composition of Materials .....	29
Materials Properties Comparison .....	31
Failure Modes .....	32
Real Costs .....	41
Design Considerations (Vacuum Clamping) .....	42
Assorted End-Effectors .....	52
End-Effector Families .....	53
Complex End-Effector .....	54
Ceramic End-Effectors .....	55
Sample Drawings (Vacuum Clamping) .....	56
Mechanical End-Effectors (Articulated) .....	62
Design Philosophy .....	63
Intelligence and Sensing .....	77
Mechanical Articulated End-Effectors .....	79
Conclusions .....	83

# Introduction

This text has been prepared as an informational tool. Its aim is to provide both general information on end-effectors and their relationship to robots as well as specific information to assist the developer of robotic devices in the design of end-effectors in general, and ceramic end-effectors specifically. We have attempted to provide all the information required to understand the role of the end-effector and the data to design them. However should additional information be needed, please call us and we will attempt to answer any remaining questions.

The reader should recognize that there are numerous applications using robotics. These extend from the very simple to the elaborate planet exploring types. It is not the aim of this text to elucidate all possible end-effector applications but rather to explain that end-effectors are a required part of every robot regardless of application. It is the object of the writer to discuss end-effectors as they relate to the electronics industry of the 1990s and beyond 2000.

The unique processes developed by End-Effectors Inc., have made the use of ceramic end-effectors economically feasible for manufacturers of automated process equipment. Fabrication limitations and cost considerations are no longer a cause for ruling out ceramic as a material of choice. New and unique processes now allow fabrication of parts which were not previously producible. In addition to the strength, rigidity, purity, wear resistance, high temperature operation and chemical resistance of ceramic, an additional factor of controlled electrical properties is available. This combination of properties and techniques can provide solutions for many problems which were here-to-fore, unsolvable.

Short of stating ceramic is "the" material of choice for end-effector construction, it is an excellent choice in many applications. In subsequent sections of this text we will discuss several materials and their properties. As important as the basic characteristics of a material are, another factor must also be considered: how materials fail. Failure characteristics can also determine what materials are suited to a particular application.

It is an understatement to say that there are hundreds of materials. The periodic chart of elements gives us building blocks from which thousands of compounds are created and adding combinations of materials and processes gives us millions of possibilities. Let it suffice to say that many, if not most, of the world's requirements can be met by common metals such as aluminum, brass, and steels. The modern high tech ceramics techniques can now meet the demands of the balance of the world's requirements. The implementation of new materials and processes allow the production of parts in a variety of ceramic materials and in configurations which here-to-fore could only be produced in metals.

# Definitions

## FORMAL DEFINITION

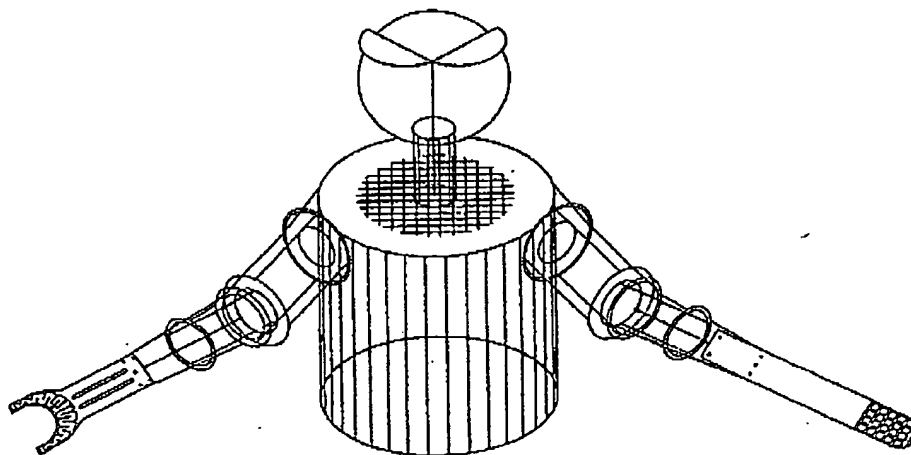
**ROBOT:** An automaton, specifically, a mechanical man.

**END-EFFECTOR:** An appliance to facilitate the capture, relocation or re-orientation of an object.

## LAY DEFINITION

**ROBOT:** A tool for automation.

**END-EFFECTOR:** A robot's hand.



# Applications

End-effectors have been used for many years. If we extend the definition and use it loosely we could say a fork is an end-effector, yes, chop sticks would also qualify. It was with the advent of industrial automation that end-effectors became widely used. They were first used to replace the meager strength of the human hand while humans still controlled positioning. This can be seen in early production lines where clamping devices would suspend heavy objects while men would position them. The clamping device was the end-effector. As machines got smarter, 1950s on, the holding devices came under the machine's control as opposed to the operator's control. This is evident in automated machine shop equipment where the machine moves the part it is fabricating and changes its own cutting tools. Next came automatic machines which controlled the end-effectors' position in space - any position.

The electronics industry took on a new look with the advent of semiconductors in the late 50s and 60s. Now the challenge was to hold and position very small parts. Robots were not fiction in a Hollywood script but a necessary element of the manufacturing business—not just electronic manufacturing, all manufacturing — especially automobiles. As robots were developed for all areas of manufacturing, so too were different types of end-effectors because of the need to hold a variety of parts under a variety of conditions. The cleanliness required in the electronics industry as well as a hostile environment of high temperature and chemicals favored robots over humans. The automation of the semiconductor electronics industry made end-effectors a crucial handling tool, requiring a highly sophisticated fabrication technology. End-effectors are now an integral part of robotic equipment used in the fabrication of many components for numerous industries throughout the world.



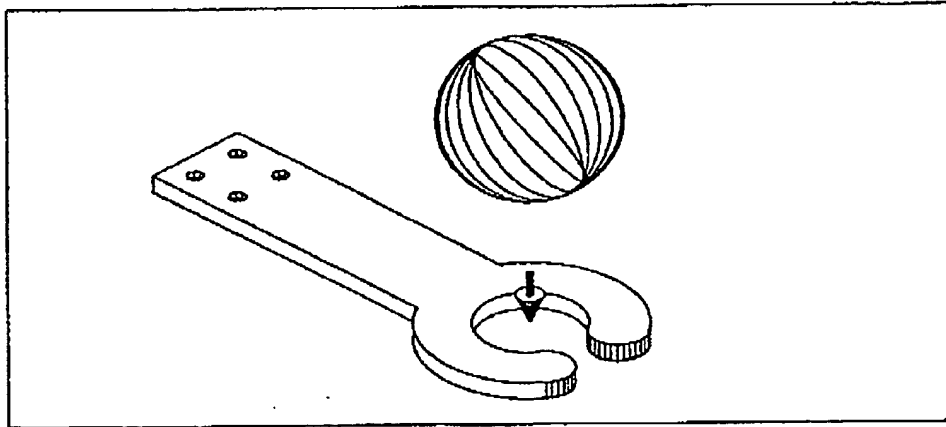
The handling of data disks and semiconductor wafers represent major industrial applications for end-effectors. The handling of glass plates is rapidly increasing as flat panel display production increases. It is safe to say that the automation of industry will continue to grow and the need for automatic handling of products shall also increase. End-effectors will both increase in size and decrease in size, this to accommodate the requirements of industry. They will be found in every area of industry as well as the medical industry where they will be employed to save human life. Thus, the need for end-effectors will grow and the engineering expertise necessary to fabricate them will require increasingly greater ingenuity and sophistication.

## Holding Methods

Industry has held parts in position to perform manufacturing processes for many years. This can be done by a holding device such as a vise. In the robotic world there is an added factor to that of holding, it is mobility. The ability to hold a part and still have the mobility to position to precise locations defines robotics. This operational requirement has fostered the use of the following holding methods:

1. Gravity: Gravity can provide a means for holding a part while handling. Gravity is utilized with a holding fixture which provides a shape that permits the part to securely nest in the end-effector.

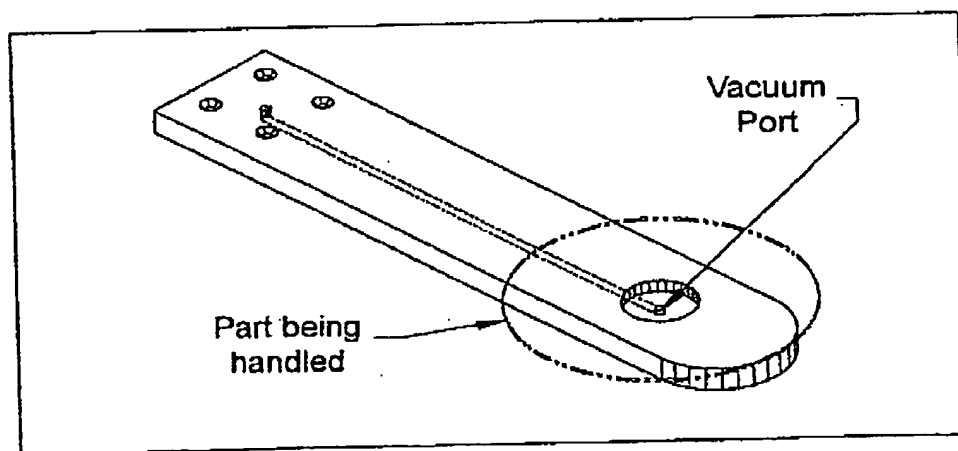
Gravity holds  
part in nest.



## 2. Vacuum:

Vacuum holding is a very common and popular method of temporarily securing a part to an end-effector for a short period of time. Flat surfaces are desired for vacuum holding in order to facilitate a vacuum seal. Therefore, parts having flat surfaces are candidates for this method. Debris laden environments will prevent vacuum sealing and are not conducive to vacuum holding.

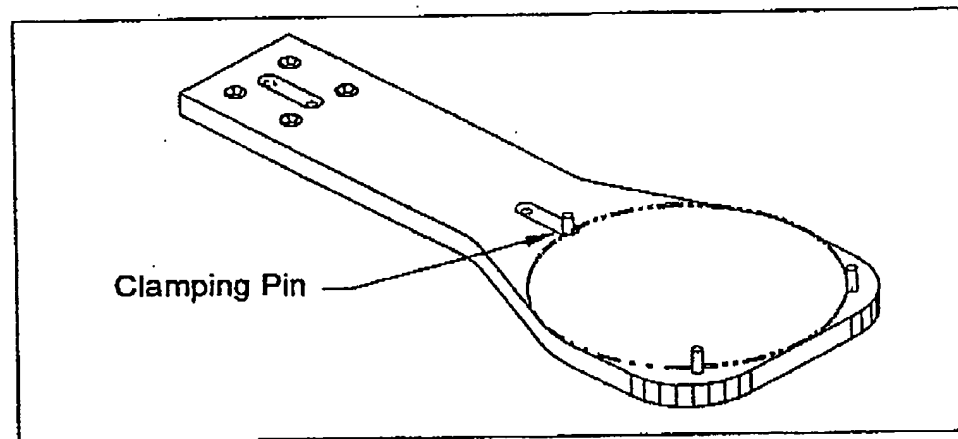
While this method appears simple, the reader would be wise to investigate further. The details of this technology shall be discussed in full measure later in the text. The challenges of this technology are great and some of the implemented solutions are elegant.



**3. Mechanical:**

Clamping a part by mechanical means is a practical solution for many applications. One such application is holding parts in a vacuum chamber where the vacuum method of holding can not be utilized. The mechanical end-effector is usually a complex design and demands a higher cost. The potential for damage to the part being handled can be high for fragile parts.

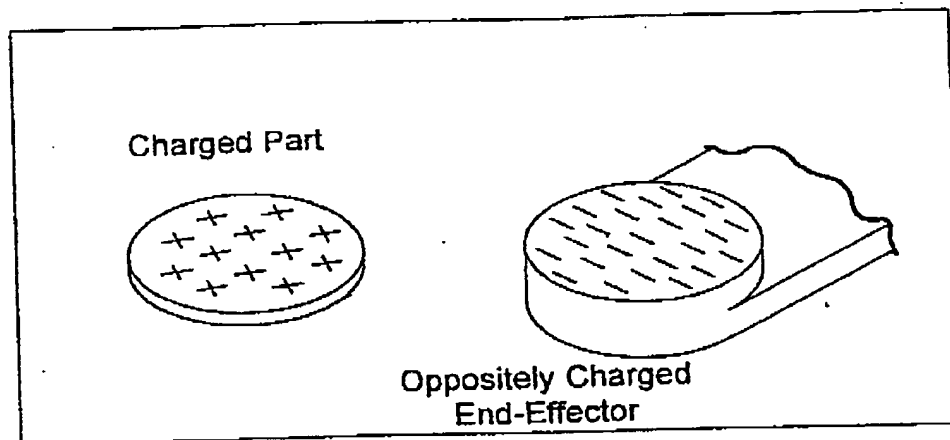
Mechanical pressure  
from actuator pin  
clamps part in place.



**4. Electrostatic:**

The electrostatic holding method is applicable when the parts being handled will not be damaged by an electrostatic charge and are light in weight. This method is particularly well suited for vacuum chamber use.

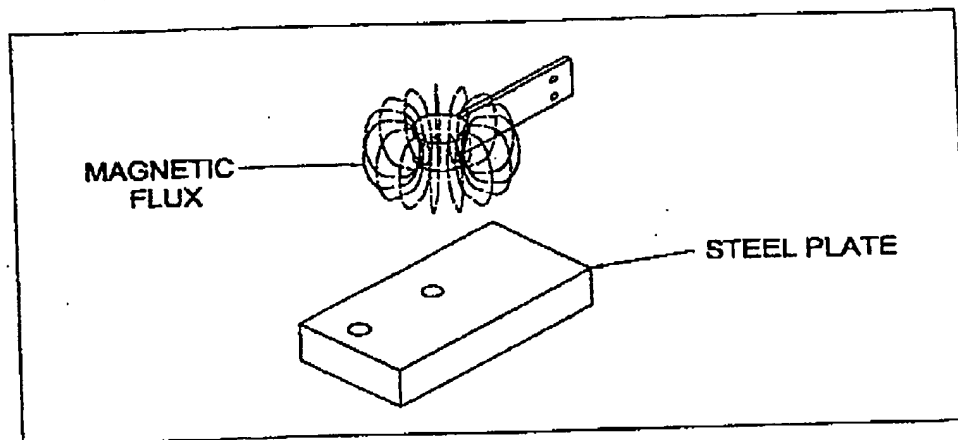
Electrostatic  
charge holds part  
in place.



5. Electromagnetic: The electromagnetic holding method has been used for many years in numerous industries. A primary requirement for the employment of this method is that the part will be captured by a magnetic field. This generally means that this method is limited to ferrous materials.

The holding power of the magnet is directly related to the magnetic flux density which can be varied by increasing or decreasing current flow for a particular electro-magnet design.

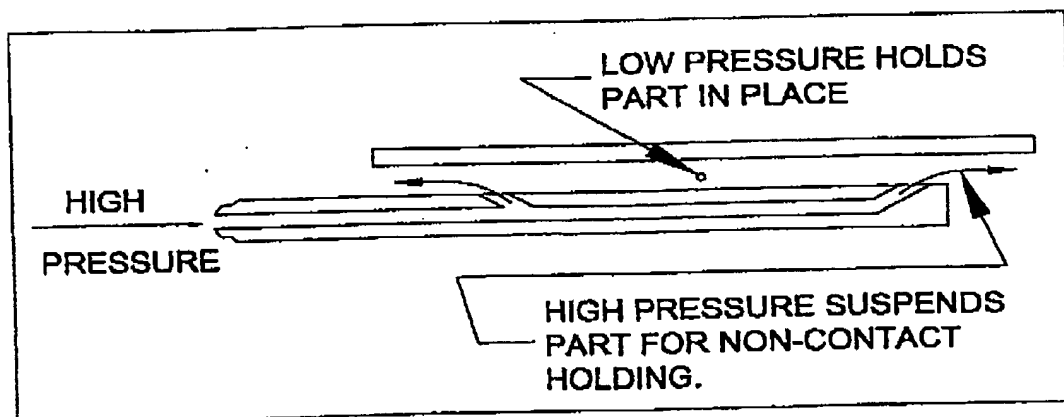
Electro-magnetic flux  
holds part in place.



6. Bernoulli Chuck: Daniel Bernoulli was a Swiss scientist who lived from 1700 to 1782. He discovered that gases moving through a tube with a restriction must speed up at the point of the restriction. It became obvious to him that if the gases increased in speed they must decrease in pressure in order to conform to the formula  $F = m \times a$ . The venturi was thus invented and this principal is responsible for non-contact holding methods used for light weight parts.

There are many configurations which will produce the desired holding effect. This drawing is a diagrammatic representation.

Balanced high and low pressure holds part in place.



**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

**BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☒ **OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**